



## **CHESTERFIELD COUNTY ADMINISTRATIVE POLICIES AND PROCEDURES**

**Department:** Human Resource Management  
**Subject:** Personnel Records

**Policy Number:** 6-6  
**Supersedes:** 07/24/98  
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### **I. INTRODUCTION**

This administrative procedure establishes policies and procedures relating to the retention and maintenance of personnel records for all County employees.

This procedure applies to official personnel records maintained by the Department of Human Resource Management (HRM) for every County employee, and addresses issues regarding establishment and maintenance of unofficial records that may be maintained by any other individual or department.

### **II. ESTABLISHMENT OF OFFICIAL RECORDS**

HRM will be the official office of record for the collection, storage and dissemination of personnel information relating to County employees and will establish an official personnel record for each employee at the time of employment.

### **III. ESTABLISHMENT OF DEPARTMENTAL RECORDS**

Department directors/office administrators will ensure that only personnel information deemed to be critical to the operation of the department is maintained in unofficial personnel records. The following principles will be observed: (These principles do not apply to records maintained by the Police Department containing data gathered through background investigations or records maintained by the Office of Professional Standards.)

- A. The existence of any personnel data system cannot be kept secret.
- B. There must be a procedure for an individual to review information in a record pertaining to him and how it is being used. All data about an employee must be open to that employee and to HRM.
- C. An individual must have recourse to prohibit the use of information in a manner other than for what it was collected or intended. If an employee believes that information is being misused, he should inform HRM in writing.
- D. An individual must be allowed to correct or amend information by producing evidence to support his claim.
- E. Departments maintaining personal data must insure the reliability and confidentiality of the data and take precautions to prevent its misuse.

### **IV. RELEASE OF INFORMATION**

Employees may review their own official personnel files by contacting HRM for an appointment. Release of information to anyone other than the employee will be consistent with the Freedom of Information Act and Personal Privacy Act of 1976 and other applicable rules of Federal, State and local government. (Inquiries from the public regarding employee information must be referred to HRM.) No information regarded as confidential shall be released prior to obtaining a release signed by an employee or former employee. Department directors/office administrators, an employee's supervisor, the County Attorney's Office, Human Resource Management or other management representatives with a legitimate need to review these records, and the department HRM liaison may have access to the files of employees within their department without a signed release of information.

### **V. PROCEDURE**

- A. **File Origination** – The personnel file folder shall initially contain:

1. Original Application for Employment (not including EEO Form)
2. Offer Letter
3. Signed Acceptance Notification
4. Original Personnel Action Form
5. VRS Member's Information and Beneficiary Designation
6. W-4 Federal Withholding Allowance Certificate
7. VA-4 Employee's Virginia Income Tax Withholding Exemption Certificate
8. ID Photo
9. Social Security Card (copy)
10. National Safety Council Certificate of Completion
11. Health Care and Dental Enrollment/Change Forms, if applicable
12. Deferred Compensation Enrollment/Change Form, if applicable
13. Long Term Disability Form/Authorization, if applicable

Information from these documents is also used to build the employee electronic data file.

**B. File Maintenance** – Documents will be filed as soon as possible after submission to HRM. These documents shall include:

1. Applications for Employment (if selected for another County position)
2. Personnel Action Forms
3. Requests for Tuition Assistance
4. Savings Bond Form
5. Performance Appraisal Reports
6. Letters of Commendation/Reprimand
7. Reports of Termination/Letter of Resignation
8. VRS Application for Service or Disability Retirement
9. VRS Refund Request and Membership Withdrawal
10. Health and Dental Care Open Enrollment and Change Forms
11. Training Certificates
12. Documentation of employee recognition

Departments other than HRM originating such documents will be responsible for forwarding them to HRM for filing in the official files. These documents are used to update the electronic files. Departments should ensure that duplicate documents are not forwarded to HRM.

**C. Correction of Data**

Employees are responsible for a periodic review of the accuracy of all information contained in their official records. All County employees are encouraged to contact HRM periodically to schedule an appointment to review his official personnel file. If the employee believes that any information maintained in the official record is in error, he should notify the Director of HRM in writing presenting evidence supporting his claim.

Personal, job, and salary data contained in the electronic file is printed on the Personnel Action Form. Each time an entry or correction is made to the electronic file, a new form will be produced. This form should be reviewed annually, as part of the performance evaluation process. Signing of the form signifies that this data has been reviewed and is correct.

- D. **File Retention and Disposition** – Due to the volume of documents maintained, it may occasionally become necessary to purge personnel records. The following records may be removed:

1. Health and Dental Care enrollment records more than 3 years old
2. VRS Beneficiary Designations if superseded
3. Salary Action Records more than 10 years old
4. Tuition Assistance Records more than 3 years old
5. Other records considered no longer pertinent as determined by the Director of HRM

These documents will be forwarded to the employee and may be disposed of at his discretion.

Personnel records will be maintained in HRM as long as the employee is actively employed by Chesterfield County. Upon termination, records will be maintained in HRM until the end of the fiscal year. At that time, inactive records will be stored by the County for a period of 6 years. Records older than 6 years will be destroyed in compliance with the Library of Virginia's Records Retention and Disposition Schedule.

## VI. AUTOMATED PERSONNEL RECORDS

- A. **Promotions, Demotions, Transfers and Reclassifications** – In the case of a promotion, demotion, transfer, reclassification and regrades or special appointments all information must be reported on a Personnel Action Form to HRM by the deadline established by HRM. (See Classification and Compensation Plan.)
- B. **Terminations** – Termination actions are considered to be either voluntary or involuntary. Terminations will be identified as either voluntary or involuntary on the Report of Separation, Personnel Action Form, and the appropriate code assigned to identify the reason for separation. The details of the termination are necessary for Unemployment Insurance reporting purposes. In those instances of voluntary termination, a copy of the letter of resignation will accompany the Personnel Action Form.
- C. **Miscellaneous** – Miscellaneous personnel status changes, i.e. change of marriage status, change of address, merit increases, etc. will be completed in accordance with the instructions found in the HRM liaison manual and the Classification and Compensation Plan.